



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
08/977,787	11/25/97	MIZZEN	L STS96-02A

PATRICIA GRANAHAN  
HAMILTON BROOK SMITH  
TWO MILITIA DRIVE  
LEXINGTON MA 02173



DOCKETED

23 APR 98  
ASD/SQD/VSD/DSD/  
FED/IDS

NOT ASSIGNED

#2

1642

DATE MAILED:

02/23/98

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted **ALONG WITH THE PAYMENT OF A SURCHARGE** for items 1 and 3-6 only of \$ 130 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ large entity ☐ small entity (verified statement filed), is \$ 2526.

☒ 1. The statutory basic filing fee is:

- ☐ missing.
- ☐ insufficient.

Applicant must submit \$ 790 to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

☒ 2. Additional claim fees of \$ 1606, including any multiple dependent claim fees, are required. Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing.
- ☐ does not cover the newly submitted items.
- ☐ does not identify the application to which it applies.
- ☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☒ 4. The signature(s) to the oath or declaration is/are:

- ☐ missing.
- ☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

04/20/1998 DTHMAS 00000002 08977787  
01 FC:205 See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

02 FC:201 395.00 OP

03 FC:203 OTHER: 803.00 OP

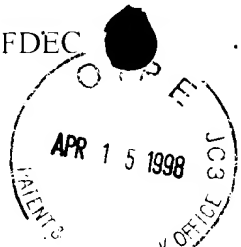
Direct the response and any questions about this notice to "Attention: Box Missing Parts."

*K. Jones*

**A copy of this notice MUST be returned with the response.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

STS9602A.TRANSFFDEC  
C:AJC74:WP7  
AJC:kfd  
April 13, 1998



PATENT APPLICATION  
Docket No.: STS96-02A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Lee Mizzen, Lawrence S.D. Anthony, Huacheng Bill Wu and  
Marvin Siegel  
Application No.: 08/977,787 Group Art Unit: 1642  
Filed: November 25, 1997  
For: IMMUNE RESPONSES USING COMPOSITIONS  
CONTAINING STRESS PROTEINS

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231	
on <u>April 13, 1998</u>	<u>Lee Mizzen</u>
Date	Signature
<u>Lee Mizzen</u>	
Typed or printed name of person signing certificate	

TRANSMITTAL OF FILING FEE AND DECLARATION/POWER OF ATTORNEY  
IN RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

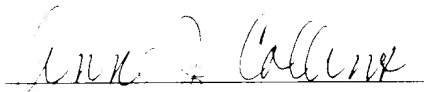
Sir:

In response to the Notice to File Missing Parts of Application (the Notice) dated February 23, 1998, enclosed herewith is an executed Declaration/Power of attorney for filing in the referenced application. Although the Notice did not indicate that the referenced application does not comply with the Sequence Rules, a Sequence Listing is also enclosed for filing in the application.

Also enclosed is a check in the amount of \$1263.00 which includes payment of the application filing fee in the amount of \$1198.00 and surcharge in the amount of \$65.00 for a small entity. A Verified Statement Claiming Small Entity Status is being filed concurrently. A copy of the Notice is attached.

Please charge Attorney's Deposit Account No. 08-0380 for any additional fees that may be due in this matter. A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,



Anne J. Collins  
Registration No. 40,564  
Telephone (781) 861-6240  
Facsimile (781) 861-9540

Lexington, Massachusetts 02173

Date:

*April 13, 1998*

April 13, 1998

APR 15 1998

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Lee Mizzen, Lawrence S.D. Anthony, Huacheng Bill Wu and Marvin Siegel

Application No.: 08/977,787 Group Art Unit: 1642

Filed: November 25, 1997

For: IMMUNE RESPONSES USING COMPOSITIONS CONTAINING STRESS PROTEINS

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231

on

Date

Signature

Typed or printed name of person signing certificate

**TRANSMITTAL OF VERIFIED STATEMENT CLAIMING****SMALL ENTITY STATUS**

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

Please file the enclosed Verified Statement Claiming Small Entity Status in the above-identified patent application.

A copy of this letter is enclosed for accounting purposes.

Respectfully submitted,

*Anne J. Collins*  
Anne J. Collins

Registration No. 40,564

Telephone (781) 861-6240

Facsimile (781) 861-9540

Lexington, Massachusetts 02173

Dated: April 13, 1998

STS9602A.CFR  
AJC72:WP51  
AJC:kfd  
April 13, 1998

Jocket No.: STS96-02A

IN  UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Lee Mizzen, Lawrence S.D. Anthony,  
Huacheng Bill Wu and Marvin Siegel

Application No.: 08/977,787

Group: 1642 *1831*

Filed: November 25, 1997 *#26*

Title: IMMUNE RESPONSES USING COMPOSITIONS  
CONTAINING STRESS PROTEINS

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231	
on <i>April 13, 1998</i>	<i>Karen DiLocco</i>
Date	Signature
<i>Karen DiLocco</i>	
Typed or printed name of person signing certificate	

REQUEST FOR CORRECTION OF FILING RECEIPT

Assistant Commissioner  
of Patents  
Washington, DC 20231

ATTN: Application Processing Division  
Customer Correction Branch

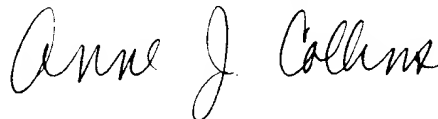
Sir:

Applicants' Attorney respectfully requests correction of the Filing Receipt, which was received on February 25, 1998, for the referenced application. The last name of the inventor, Lawrence S.D. Anthony, is incorrectly spelled "Antony". Please correct the spelling to "Anthony". Also please add the following two inventors to the filing receipt: Huacheng Bill Wu and Marvin Siegel. A response to the Notice to File Missing Parts of Application, which

includes a Declaration/Power of Attorney signed by Lee Mizzen, Lawrence S.D. Anthony, Huacheng Bill Wu and Marvin Siegel, is being filed concurrently. A copy of the Filing Receipt with the corrections noted is enclosed for reference.

Applicants' Attorney respectfully requests that the Patent Office issue a corrected Filing Receipt.

Respectfully requested,



Anne J. Collins  
Attorney for Applicants  
Registration No.: 40,564  
Telephone: (781) 861-6240  
Facsimile: (781) 861-9540

Lexington, Massachusetts 02173

Dated: *April 13, 1998*

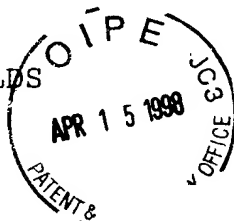
FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/977,787	11/25/97	1642	\$0.00	STS96-02A	10	52	14

PATRICIA GRANAHAN  
HAMILTON BROOK SMITH & REYNOLDS  
TWO MILITIA DRIVE  
LEXINGTON MA 02173



Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

LEE MIZZEN, VICTORIA, CANADA; LAWRENCE S.D. ~~ANTONY~~,  
VICTORIA, CANADA. *HUACHENG BILL WU, HARVIN SIEGEL*

CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A CIP OF 08/756,621 11/26/96

TITLE

IMMUNE RESPONSES USING COMPOSITIONS CONTAINING STRESS PROTEINS

PRELIMINARY CLASS: 424

